

FORM CD-516 LF (6-93)		US DEPARTMENT OF COMMERCE				NEW				
CLASSIFICATION AND PERFORMANCE MANAGEMENT RECORD						I/A:				
						MR#:				
						IP#:				
<input type="checkbox"/> Performance Plan <input type="checkbox"/> Performance Appraisal <input type="checkbox"/> Performance Recognition <input type="checkbox"/> Progress Review <input type="checkbox"/> Position Description										
Employee's Name:					Social Security No.					
Position Title:										
Pay Plan, Series, Grade/Step:										
Organization:	1.				4.					
	2.				5.					
	3.				6.					
Rating Period:										
Covered by		Senior Executive Service					Demonstration Project			
		General Workforce					Other:			
PART A - POSITION DESCRIPTION										
POSITION CERTIFICATION – I certify that this is an accurate statement of the major duties and responsibilities of the position and its organization relationships and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purpose relating to appointment and payment of public funds and that false or misleading statements may constitute violation of such statute or their implementing regulations.										
SUPERVISOR'S SIGNATURE				DATE		SECOND LEVEL SUPERVISOR			DATE	
CLASSIFICATION CERTIFICATION	OFFICIAL TITLE:									
	PP:	SERIES:	FUNC:	GRADE:	I/A:		YES		NO	
I certify that this position has been classified as required by Title 5, US Code, in conformance with standards published by the OPM or, if no published standard applies directly, consistently with the most applicable published standards.										
NAME & TITLE OF CLASSIFIER					SIGNATURE			DATE		
PART B - PERFORMANCE PLAN										
This plan is an accurate statement of the work that will be the basis of the employee's performance appraisal.										
NAME & TITLE OF FIRST LINE SUPERVISOR/RATING OFFICIAL					SIGNATURE			DATE		
APPROVAL – I agree with the certification of the position description and approve the performance plan.										
NAME & TITLE OF APPROVING OFFICIAL OR SES APPOINTING AUTHORITY					SIGNATURE			DATE		
EMPLOYEE ACKNOWLEDGMENT – My signature acknowledges discussion of the position description and receipt of the plan, and does not necessarily signify agreement.					SIGNATURE			DATE		
PRIVACY ACT STATEMENT – Disclosure of your social security number on this form is voluntary. The number is linked with your name in the official personnel records system to ensure unique identification of your records. The social security number will be used solely to ensure accurate entry of your performance rating into the automated record system.										

U.S. Department of Commerce
Senior Professional (SL) Performance Agreement

Executives in the Department of Commerce are accountable for supporting the Department's mission to promote job creation and improved living standards for all Americans by creating an infrastructure that promotes economic growth, technological competitiveness, and sustainable development. The Department's strategic goals are as follows:

- 1) Provide the information and the framework to enable the economy to operate efficiently and equitably.
- 2) Provide the infrastructure for innovation to enhance American competitiveness.
- 3) Observe and manage the Earth's environment to promote sustainable growth.
- 4) Management Integration Goal: Strengthen management at all levels.

Appraisal Period: *October 1, 2005 – September 30, 2006*

SSN:

Name:

Position Title:

SL and Series: *SL-*

Organization: *DoC/NOAA/xxx*

NOTE: Accomplishment of the following responsibilities is not the sole applicable measurement - it is how well the Executive has achieved these assignments that drives the ratings for these performance elements.

NOAA scientists and managers work to support the mission of the organization. NOAA's mission is to understand and predict changes in the Earth's environment and conserve and manage coastal and marine resources to meet our Nation's economic, social, and environmental needs. NOAA's strategic plan is the response to the challenges for the next five years and beyond, setting the framework to build NOAA's capacity to address new priorities and realize its objectives. NOAA's strategic goals are defined as:

- Protect, restore and manage the use of coastal and ocean resources through an ecosystem approach to management.
- Understand climate variability and change to enhance society's ability to plan and respond.
- Serve society's needs for weather and water information.
- Support the Nation's commerce and information for safe, efficient, and environmentally sound transportation.
- Provide critical support to NOAA's mission

In addition, NOAA has identified five crosscutting priorities as essential areas of growth for the future. These crosscutting priorities describe the programmatic and managerial underpinnings that facilitate NOAA's delivery of services and enable effective operations. NOAA's crosscutting priorities are as follows.

1. Developing, Valuing, and Sustaining a World-Class Workforce
2. Integrated Global Environmental Observation and Data Management System
3. Ensuring Sound, State of the Art Research
4. Promoting Environmental Literacy
5. Exercising International Leadership

These goals are reflected in the critical elements defined below.

Part I: Critical Performance Expectations

A. Responsibilities - All Department of Commerce senior professional leaders share certain critical elements that deal with how they perform their job. Set forth below, these responsibilities reflect the core values of the Department – what is important to us as an organization – and they are shared by all Department of Commerce executives, senior scientists/technologists, and managers. These elements guide the various actions that the incumbent commits to in Part I, B, NOAA critical elements and should be given equal weight in the summary narrative and evaluation. The incumbent and immediate supervisor jointly review these responsibilities to ensure mutual understanding.

CRITICAL ELEMENT 1: LEADERSHIP (30%)

Demonstrates integrity, sound judgment, and the highest ethical standards of public service. Effectively executes programmatic and organizational changes as necessary. Effectively develops and executes plans to accomplish strategic goals and organizational objectives, setting clear priorities and acquiring available resources (human, financial, budget, etc) to ensure timely delivery of high quality services and products in compliance with applicable laws, regulations and policies. Demonstrates cooperation, flexibility and teamwork in interactions with all clients.

Achieves the objectives established by the President, the Secretary, Deputy Secretary, and senior management. Focuses on results. Supports the Department by providing responsive, timely and accurate work products and information as requested by Department management. Suggests innovative approaches to knowledge management that improves communication across organizational lines.

LEADERSHIP MISSION GOAL(S)

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LEADERSHIP OUTCOMES

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LEADERSHIP OBJECTIVES

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LEADERSHIP MEASURES AND MILESTONES

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Rating on Element 1 – Leadership

- G **Outstanding**
- G **Commendable**
- G **Fully Successful**
- G **Minimally Acceptable**
- G **Unsatisfactory**

CRITICAL ELEMENT 2: Customer/Client Service Responsiveness 20%

Ensures high degree of responsiveness to organizational leadership, the public, and internal and external customers (i.e., external contacts, staff, bureaus, Department, customer agencies, taxpayers.) Consults, collaborates and builds partnerships with agencies and other stakeholders, and takes decisive action, in

accordance with law, regulation, and Department policy. Continuously seeks to improve business processes, sharing those efforts with other units to better overall Department performance.

Demonstrates the importance of customer and employee satisfaction in successfully accomplishing the Department's mission. Demonstrates the importance of customer focus as a critical component of the Department's mission. Listens to customers, systematically gathering their feedback, actively seeking to identify their needs and expectations, and effectively communicating those needs and expectations to superiors and counterparts. Demonstrates promptness, professionalism, fairness and responsibility to the circumstances of individual customers, to the extent permitted by law and regulation. Continuously evaluates organizational performance from a customer's point of view.

Customer Client Service Responsiveness Mission Goal(s)

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Customer Client Service Responsiveness Outcomes

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Customer Client Service Responsiveness Objectives

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Customer Client Service Responsiveness Measures and Milestones

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Rating on Element 2 – Customer/Client Service Responsiveness

- G Outstanding
- G Commendable
- G Fully Successful
- G Minimally Acceptable
- G Unsatisfactory

B. NOAA Critical Elements

CRITICAL ELEMENT 3: NOAA CRITICAL PERFORMANCE EXPECTATION–SUPPORT OF CORPORATE NOAA (40%)

Works to ensure the effectiveness of NOAA's Planning, Programming, Budgeting and Execution System (PPBES) for all of NOAA's goal and program structure. Actively participates in developing NOAA's Strategic Plan and Annual Guidance Memo. Supports the development of NOAA's Program by determining the optimal use of resources including promoting the redirection of existing resources to meet new program needs. Assists in the development of requests for resources to support new and existing activities throughout NOAA's annual budget cycle. Develops line office and program annual operating plans to support attainment of NOAA's annual performance goals. Manages organizational resources to ensure they are

effectively deployed to achieve the milestones identified in the annual operating plans and takes other steps as necessary to achieve the maximum effectiveness of NOAA's program execution. Carefully tracks performance to document achievement of NOAA's performance goals. Promotes and requires teamwork with other NOAA line and staff offices and components and provides strong support for NOAA's goal team leads, program managers, and others involved in the PPBES process. Adheres to NOAA policies concerning Congressional, DOC, OMB, EOP and other communications outside NOAA. Analyzes the organization to identify key relationships that should be initiated or improved to further the attainment of NOAA's goals. Develops and implements programs with educational institutions, including Minority Serving Institutions, to enhance outreach and education in NOAA-related areas. Monitors and evaluates partnerships for the attainment of NOAA's goals. Builds strong alliances, involving stakeholders in making decisions, and gaining cooperation to achieve mutually satisfying solutions. Initiates actions and manages risks to develop new products and services within or outside the organization. Shares innovations with others.

Improves the management of NOAA through the timely and effective execution of annual budget appropriations, including FTE ceilings and other OMB, Department and NOAA policies, including policies on IT management and security, budget execution and formulation, etc. Completes actions necessary to eliminate material weaknesses and supports achievement of an unqualified NOAA audit (e.g. unreconciled property, etc.). Meets grant and procurement requirement schedules and pursues every reasonable opportunity to utilize small and disadvantaged businesses when considering procurement alternatives. At a minimum, sets aside 1.5% of personnel and compensation (i.e., salaries and benefits) to support employee career development and training opportunities.

Support of Corporate NOAA Mission Goal(s)

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Support of Corporate NOAA Outcomes

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Support of Corporate NOAA Objectives

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Support of Corporate NOAA Measures/Milestones

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Rating on Element 3 - Support of Corporate NOAA

- G **Outstanding**
- G **Commendable**
- G **Fully Successful**
- G **Minimally Acceptable**
- G **Unsatisfactory**

CRITICAL ELEMENT 4: NOAA CRITICAL PERFORMANCE EXPECTATION–EXECUTIVE DEVELOPMENT AND COMMUNICATION (10%)

Participating in NOAA/Commerce Executive Development Training Programs, seminars, or continuing education. Participates in professional organizations, conferences, etc.

Clearly conveys and receives information and ideas through a variety of media to individuals or groups in a manner that engages the audience, helps them understand and retain the message, and permits response and feedback from the audience. Organizes and presents ideas effectively for formal and spontaneous presentations. Prepares concise and logical written materials. Keeps affected parties informed on issues.

Executive Development & Communication Mission Goals

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Executive Development & Communication Outcomes

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Executive Development & Communication Objectives

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Executive Development & Communication Measures/Milestones

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Rating on Element 4 - Executive Development & Communication

- G **Outstanding**
- G **Commendable**
- G **Fully Successful**
- G **Minimally Acceptable**
- G **Unsatisfactory**

PART II: Progress Review

This mandatory review generally takes place during the middle of the evaluation year. The rating official and the incumbent are required to discuss the incumbent's progress toward expectations set forth in Part I. That discussion should be summarized below:

Date review conducted: _____

Rating official's signature: _____

Employee's signature: _____

Part III: Performance Summary and Rating

Name:

Instructions:

List each critical element in the performance plan and the weight it has been assigned.

Assign a rating level for each element: (5) Outstanding; (4) Commendable; (3) Fully Successful; (2) Minimally Acceptable and (1) Unsatisfactory. Raters may also give fractional ratings.

Score each element by multiplying the weight by the rating level.

After each element has been scored, compute total score by summing all individual scores. Total score can range from 100 to 500.

Performance Summary and Rating Methodology			
Critical Element	Individual W eights (Sum=100%)	Element Rating (1-5)	Score
Leadership/Management	30		0
Customer/Client Service Responsiveness	20		0
Support of Corporate NOAA	40		0
Executive Development & Communication	10		0
Total	100		0

ITEM 3. SL EMPLOYEES ONLY:		
Name		Title
1. Rating Official Recommendation(s). Check appropriate block(s).		
<input type="checkbox"/> Outstanding (460 – 500)	<input type="checkbox"/> Commendable (380 – 459)	<input type="checkbox"/> Fully Successful (290 – 379) <input type="checkbox"/> Marginal (200 – 289) <input type="checkbox"/> Unacceptable (100 – 199)
Rating Official's Signature	Title	Date
Employee's Signature (indicates appraisal meeting held)		Date
2. Optional Higher Level review (at employee's request) Comments:		
Recommendation on initial rating:		
Higher Level reviewer Signature	Title	Date
3. PRB Review PRB Concurs with initial Rating <input type="checkbox"/> Yes <input type="checkbox"/> No (Explain below)		
PRB Chairperson and/or Co-Chairperson's Signature		Date
4. Appointing Authority <input type="checkbox"/> Agree <input type="checkbox"/> Disagree with PRB recommendations. If disagree, explain.		
Final Rating of Senior Executive: <input type="checkbox"/> Outstanding <input type="checkbox"/> Commendable <input type="checkbox"/> Fully Successful <input type="checkbox"/> Marginal <input type="checkbox"/> Unacceptable		
Appointing Authority's Signature		Date

ITEM 3. SL EMPLOYEES ONLY:			
Name		Title	
1. Rating Official Recommendation(s). Check appropriate block(s).			
<input type="checkbox"/> Outstanding (460 – 500)	<input type="checkbox"/> Commendable (380 – 459)	<input type="checkbox"/> Fully Successful (290 – 379)	<input type="checkbox"/> Marginal (200 – 289) <input type="checkbox"/> Unacceptable (100 – 199)
Rating Official's Signature		Title	Date
Employee's Signature (indicates appraisal meeting held)			Date

2. Optional Higher Level review (at employee's request) Comments: Recommendation on initial rating:		
Higher Level reviewer Signature	Title	Date
3. PRB Review PRB Concurs with initial Rating <input type="checkbox"/> Yes <input type="checkbox"/> No (Explain below)		
PRB Chairperson and/or Co-Chairperson's Signature		Date
4. Appointing Authority <input type="checkbox"/> Agree <input type="checkbox"/> Disagree with PRB recommendations. If disagree, explain. Final Rating of Senior Executive: <input type="checkbox"/> Outstanding <input type="checkbox"/> Commendable <input type="checkbox"/> Fully Successful <input type="checkbox"/> Marginal <input type="checkbox"/> Unacceptable		
Appointing Authority's Signature		Date